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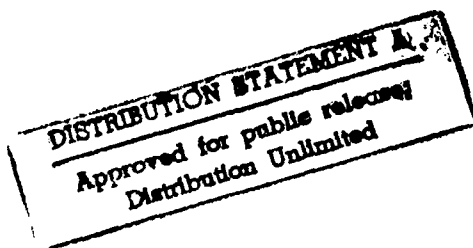
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Department
of
Defense

DoD Electronic Data Interchange (EDI) Convention

ASC X12 Transaction Set 997
Functional Acknowledgment
(Version 003010)



DL203LN7



January 1993

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Department
of
Defense

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Executive Agent for EC/EDI/PLUS
Defense Logistics Agency
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1.0 INTRODUCTION

This chapter explains the purpose of the convention, the scope of the guidance, and provides an explanation of how to use the convention.

1.1 PURPOSE OF THE CONVENTION

The convention provides general guidance on the implementation of American National Standards Institute (ANSI) Accredited Standards Committee (ASC) X12 electronic data interchange (EDI) standards within automated information systems (AIS) and information interchange procedures that require the collection, reporting, and/or exchange of data needed to perform defense missions.

1.2 SCOPE

The guidance is provided for two components. First, it may be used by organizational elements of the DoD community. It may also be useful to organizations external to DoD that exchange data with the DoD community in the course of their business relationships.

The DoD community encompasses the Military Services, Organizations of the Joint Chiefs of Staff, Unified and Specified Commands, Office of the Secretary of Defense, and the Defense agencies. (That community is collectively referred to as the DoD Components.)

Organizational entities external to DoD include (a) non-Government organizations, both commercial and nonprofit; (b) Federal agencies of the United States Government other than DoD; (c) local and state governments; (d) foreign national governments; and (e) international government organizations.

The draft convention published in this document is for trial use and comment. DoD Components must submit to the DoD EDI Executive Agent (EA) their data requirements that are not covered in the conventions as soon as possible, as indicated in Chapter 2.0, Section 2.1.

1.3 RESPONSIBLE ENTITY

The Defense Logistics Agency (DLA) is DoD's Executive Agent for implementing and maintaining Defense-wide programs for (a) EDI in accordance with DepSecDef memorandum of May 24, 1988, Subject: *Electronic Data Interchange of Business-Related Transactions*; and (b) Protection of Logistics Unclassified/Sensitive Systems (PLUS) in accordance with Assistant Secretary of Defense (Production and Logistics) [ASD(P&L)] memorandum of November 21, 1989, Subject: *Production and Logistics Task Group for Data Protection*. Publication of these conventions is based upon this authority. See Chapter 2.0 *Maintenance*, Section 2.1 for office point of contact.

1.4 HOW TO USE THE IMPLEMENTATION CONVENTION

The main topics and structures of this document conform to the *EDI Implementation Reference Manual Guidelines* document that was developed by a task group of the subcommittee on education and implementation of the ASC X12. The purpose of having agreed-upon topics and structure is to facilitate reference by the many industry and DoD personnel who are involved in implementing the uniform standards for electronic interchange of business transactions.

1.4.1 Conventions, Standards, and Guidelines

The terms conventions, standards, and guidelines are used throughout the document and are defined as follows:

- *Conventions* are the common practices and/or interpretations of the use of ASC X12 standards. Conventions define what is included in a specific implementation of an ASC X12 standard.
- *Standards* are the technical documentation approved by ASC X12; specifically, transaction sets, segments, data elements, code sets, and interchange control structure. Standards provide the structure for each ASC X12 document.
- *Guidelines* are instructions on the use of EDI. They provide additional information to assist in conducting EDI. Guidelines are intended to provide assistance and should not be your sole source of information.

1.4.1.1 Who Develops the Conventions?

Conventions result from a joint effort between business, technical, and EDI ASC X12 standards experts. The business data requirement is defined, a transaction set is selected, and the data requirement is then identified with data elements in the transaction set. A convention is usually developed before any computer EDI systems development work and serves as a design document when the development process begins.

1.4.1.2 Why Use a Convention?

To create an ASC X12 transaction, a user must know the data requirements, understand the ASC X12 standard, and be able to use that information to develop an interface program between the computer application and the ASC X12 translator. The necessary information to perform this task is contained in the convention document. Users who follow the convention will create a transaction set that all DoD users understand.

1.4.1.3 Who Needs a Convention?

System analysts and application programmers who plan to create or read ASC X12 transactions use a convention to aid in interface software design. The convention will help the programmer and analyst identify where their application data requirement should be carried in an ASC X12 transaction set.

1.4.4.4 Can I Develop a Convention?

Conventions already exist for some of the most common business practices. Copies of existing conventions can be acquired through your organization's EDI coordinator at the start of an EDI project. If you find no conventions for the business practice you are about to implement, your EDI coordinator should contact the DoD Executive Agent for EDI. See Chapter 2.0, *Maintenance*, Section 2.1 for the point of contact.

1.4.2 Documentation of Conventions

Conventions are adopted from, and are intended to be in conformance with, ANSI ASC X12 standards or ASC X12 Draft Standards for Trial Use (DSTU).

1.4.2.1 Transaction Set

Figure 1.4-1 provides an example of a transaction set table. The transaction set defines information of business or strategic significance and consists of a transaction set header segment, one or more data segments in a specified order, and a transaction set trailer segment. The actual ASC X12 standard as it appears in the official ASC X12 standards manual is presented on the right side of the page. This standard also includes both syntax notes and comments. The specific DoD usage designator is presented on the left side of the page.

The designation "N/U" appears in the left column if DoD does not use the specific segment. A page number will appear if the segment is used.

1.4.2.2 Transaction Set Segment

Figure 1.4-2 is an example of a transaction set segment.

DoD usage is specified on the left side of the page. For identifier (ID) — type data elements, acceptable code values are listed on the right side of the page under the definitions of the element.

DoD notes, reflecting how the convention is to be used appear on the right side of the page at the segment level or the data element level.

The following definitions are for use in interpreting the data element requirement designators in the DoD-specific segment directory section of the convention. For ASC X12 usage, see the definitions in *X12.6 Application Control Structure*.

- *Mandatory*
Mandatory data elements are defined by ASC X12.
- *Optional*
Optional data elements are used at the discretion of the sending party or are based upon mutual agreement between trading partners.

824 Application Advice

This standard provides the format and establishes the data contents of the Application Advice Transaction Set (824) within the context of an Electronic Data Interchange (EDI) environment. This transaction set provides the ability to report the results of an application system's data content edits of transaction sets. The results of editing transaction sets can be reported at the functional group and transaction set level, in either coded or free-form format. It is designed to accommodate the business need of reporting the acceptance, rejection or acceptance with change of any transaction set. The Application Advice should not be used in place of a transaction set designed as a specific response to another transaction set (e.g., purchase order acknowledgement sent in response to a purchase order).

Table 1

| PAGE # | POS. # | SEQ. ID | NAME | REQ. DES. | MAX USE | LOOP REPEAT |
|--------------|--------|---------|---------------------------------------|-----------|---------|-------------|
| 2 | 010 | ST | Transaction Set Header | M | 1 | |
| 3 | 020 | BGN | Beginning Segment | M | 1 | |
| LOOP ID - N1 | | | | | | 2 |
| 4 | 030 | N1 | Name | O | 1 | |
| 5 | 040 | N2 | Additional Name Information | O | 2 | |
| 6 | 050 | N3 | Address Information | O | 2 | |
| 7 | 060 | N4 | Geographic Location | O | 1 | |
| 8 | 070 | REF | Reference Numbers | O | 12 | |
| 9 | 080 | PER | Administrative Communications Contact | O | 3 | |

Table 2

| PAGE # | POS. # | SEQ. ID | NAME | REQ. DES. | MAX USE | LOOP REPEAT |
|---------------|--------|---------|---------------------------------------|-----------|---------|-------------|
| LOOP ID - OTI | | | | | | 10000 |
| 10 | 010 | OTI | Original Transaction Identification | M | 1 | |
| 12 | 020 | REF | Reference Numbers | O | 12 | |
| 13 | 030 | DTM | Date/Time Reference | O | 2 | |
| N/U | 040 | PER | Administrative Communications Contact | O | 3 | |
| N/U | 050 | AMT | Monetary Amount | O | 10 | |
| N/U | 060 | QTY | Quantity | O | 10 | |
| LOOP ID - TED | | | | | | 10000 |
| 14 | 070 | TED | Technical Error Description | O | 1 | |
| 15 | 080 | NTE | Note/Special Instruction | O | 100 | |
| 16 | 090 | SE | Transaction Set Trailer | M | 1 | |

Figure 1.4-1 Example of a Transaction Set Table

824 - APPLICATION ADVICE
BGN - BEGINNING SEGMENT

ANSI ASC X12 VERSION/RELEASE 003010DOD

| | Segment: BGN Beginning Segment | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|---|--------------|------|------------|--|--|-----------|-------|--|---|----|-----|--|--|-------------|--|--|--|--|--|-----------------|--|--|--|--|--|-----------|--|--|--|--|--|------------------|--|--|--|-----------|-------|---|---|----|------|-----------|-------|----------------------------|---|----|-----|-------------|-------|--|---|----|-----|--|--|--|--|--|--|----------|-------|---------------|---|----|-----|
| | Level: Header | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Loop: ____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mandatory | Usage: Mandatory | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Max Use: 1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Purpose: To indicate the beginning of a transaction set. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Syntax: If BGN05 is used, BGN04 is required. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Comments: 1. BGN02 is the Transaction Set Reference Number. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | 2. BGN03 is the Transaction Set Date. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | 3. BGN04 is the Transaction Set Time. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | 4. BGN05 is the transaction set time qualifier. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Data Element Summary | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <table><tr><th>REP. DES.</th><th>DATA ELEMENT</th><th>NAME</th><th colspan="3">ATTRIBUTES</th></tr><tr><td>Mandatory</td><td>BGN01</td><td>353 Transaction Set Purpose Code Code identifying purpose of transaction set.</td><td>M</td><td>ID</td><td>2/2</td></tr><tr><td></td><td></td><td>00 Original</td><td></td><td></td><td></td></tr><tr><td></td><td></td><td>01 Cancellation</td><td></td><td></td><td></td></tr><tr><td></td><td></td><td>04 Change</td><td></td><td></td><td></td></tr><tr><td></td><td></td><td>12 Not Processed</td><td></td><td></td><td></td></tr><tr><td>Mandatory</td><td>BGN02</td><td>127 Reference Number Reference number or identification number as defined for a particular Transaction Set, or as specified by the Reference Number Qualifier.</td><td>M</td><td>AN</td><td>1/30</td></tr><tr><td>Mandatory</td><td>BGN03</td><td>373 Date Date (YYMMDD).</td><td>M</td><td>DT</td><td>6/6</td></tr><tr><td>Conditional</td><td>BGN04</td><td>337 Time Time expressed in 24-hour clock time (HHMM, time range: 0000 though 2359).</td><td>C</td><td>TM</td><td>4/4</td></tr><tr><td colspan="6">Implementation Note: Use HHMM.</td></tr><tr><td>Not Used</td><td>BGN05</td><td>623 Time Code</td><td>O</td><td>ID</td><td>2/2</td></tr></table> | REP. DES. | DATA ELEMENT | NAME | ATTRIBUTES | | | Mandatory | BGN01 | 353 Transaction Set Purpose Code Code identifying purpose of transaction set. | M | ID | 2/2 | | | 00 Original | | | | | | 01 Cancellation | | | | | | 04 Change | | | | | | 12 Not Processed | | | | Mandatory | BGN02 | 127 Reference Number Reference number or identification number as defined for a particular Transaction Set, or as specified by the Reference Number Qualifier. | M | AN | 1/30 | Mandatory | BGN03 | 373 Date Date (YYMMDD). | M | DT | 6/6 | Conditional | BGN04 | 337 Time Time expressed in 24-hour clock time (HHMM, time range: 0000 though 2359). | C | TM | 4/4 | Implementation Note: Use HHMM. | | | | | | Not Used | BGN05 | 623 Time Code | O | ID | 2/2 |
| REP. DES. | DATA ELEMENT | NAME | ATTRIBUTES | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mandatory | BGN01 | 353 Transaction Set Purpose Code Code identifying purpose of transaction set. | M | ID | 2/2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | 00 Original | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | 01 Cancellation | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | 04 Change | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | 12 Not Processed | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mandatory | BGN02 | 127 Reference Number Reference number or identification number as defined for a particular Transaction Set, or as specified by the Reference Number Qualifier. | M | AN | 1/30 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mandatory | BGN03 | 373 Date Date (YYMMDD). | M | DT | 6/6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Conditional | BGN04 | 337 Time Time expressed in 24-hour clock time (HHMM, time range: 0000 though 2359). | C | TM | 4/4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Implementation Note: Use HHMM. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Not Used | BGN05 | 623 Time Code | O | ID | 2/2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Figure 1.4-2 Example of a Transaction Set Segment

- *Required*
Required data elements are considered optional under ASC X12 rules, but are required by DoD decision.
- *Recommended*
Recommended data elements are considered optional under ASC X12 rules and by the DoD, but the industry recommends their use to facilitate EDI. Most companies in the industry are expected to use this data element.
- *Not Used*
"Not Used" data elements are those that the DoD does not use.
- *Conditional*
Conditional data elements depend on the presence of other data elements in the transaction set.

2.0 MAINTENANCE

This chapter describes the procedures for maintaining the DoD conventions. It also presents a section on version/release timing.

2.1 MAINTAINING CONVENTIONS

The DLA, as DoD's Executive Agent for EDI and PLUS, has established a joint program office to oversee implementation of EDI. Some of the functions of this program office are to maintain configuration control of related standards and common support packages (e.g., versions of ASC X12 standards and PLUS algorithms employed), participate in the standards-setting process, and ensure compliance with approved EDI standards.

To accomplish these functions, the joint program office has established a conventions and standards development and maintenance process whose objectives are: (1) to obtain ASC X12 data requirements from the DoD Components and present the requirements to the ASC X12 for consideration as ANSI standards, and (2) to develop and maintain conventions for use by DoD Components and their potential trading partners.

To take advantage of, and not duplicate, existing data standardization processes, the EA has established focal points within the ASD Offices, the Military Services, and the Defense Agencies from which EDI information is obtained and disseminated.

The EA's primary source of information about DoD's data requirements is the EDI User.

Changes to this publication and recommended changes to ANSI ASC X12 should be forwarded through your organizational point of contact for data standardization to:

EDI Standards Coordinator
ATTN: DLA-ZC
Cameron Station
Alexandria, VA 22304-6100

See Chapter 4 for reproducible ASC X12 Work Request forms.

2.2 VERSION/RELEASE TIMING

Identification of the official "version" of a standard is critical to the successful interchange of information. Each participant must be able to send and receive the same version to ensure the accuracy of the information exchanged.

The version is transmitted as a 12-character code in the Functional Group Header segment (GS) in Data Element #480, Version/Release/Industry ID. This 12-character code is used by ASC X12 as follows:

| <u>Position</u> | <u>Content</u> |
|-----------------|--------------------------------------|
| 1-3 | Version number |
| 4-5 | Release level of version |
| 6 | Subrelease |
| 7-12 | DoD/Industry or Trade Association ID |

ASC X12 assigns the codes in positions 1 through 6.

A major version (1-3) will change only after an official public review cycle, leading to republication of a new American National Standard.

Release level of each new major version (4-6) will begin at "000" and incremented by 1 for each new ASC X12 approved publication cycle, usually once a year. The fifth character designates the release and the sixth character designates the subrelease.

DoD/Industry/Trade Association ID (7-12) is used to identify conventions. For this suffix, DoD will use "DoD_" with the 10th character identifying successive publications. The 11th and 12th characters may be used by the Military Departments or Defense Agencies.

DoD conventions for using ASC X12 standards are published annually. Conventions developed for each release will be maintained for 4 years. Military Services and DoD Agencies will determine which release to use on the basis of business need but will not use any release more than 4 years old without approval of the DoD EA.

3.0 DoD CONVENTIONS FOR USING ASC X12 TRANSACTION SETS

This chapter defines the DoD transaction set conventions. It includes the instructions for implementing the control structure and definitions of the usage indicators and applicable codes.

3.1 INTRODUCTION

The power of the ASC X12 standard is in its building block concept, which standardizes the essential elements of business transactions. It is analogous to a "standard bill of materials and the construction specifications," which gives the architect flexibility in what can be designed with standardized materials and procedures. The EDI system designer, like the architect, uses the ASC X12 standards to build business transactions that are often different because of their function and yet utilize the ASC X12 standards. The "bill of materials and the construction specification" of ASC X12 are the standards found in the published technical documentation.

ASC X12.3 – The *Data Element Dictionary* specifies the data elements used in the construction of the segments that comprise the transaction sets developed by ASC X12.

ASC X12.5 – The *Interchange Control Structure* provides the interchange control segment (also called an envelope) of a header and trailer for the electronic interchange through a data transmission; it also provide a structure to acknowledge the receipt and processing of the envelope.

ASC X12.6 – The *Application Control Structure* defines the basic control structures, syntax rules, and semantics of EDI.

ASC X12.22 – The *Data Segment Directory* provides the definitions and specifications of the segments used in the construction of transaction sets developed by ASC X12.

The DoD convention in Section 3.4 conform to the above standards and each transaction set is a complete document to the extent possible. For further clarification of acronyms, abbreviations, and codes, refer to ASC X12 published technical documentation. Contact the DoD EDI Executive Agent for copies or the Data Interchange Standards Association, Inc., Suite 355, 1800 Diagonal Road, Alexandria, VA 22314.

3.2 CONTROL SEGMENTS

In addition to the communication control structure, the EDI structure provides the standards user with multiple levels of control to ensure data integrity. It does so by using header and trailer control segments

designed to identify uniquely the start and end of the interchange functional groups and transaction sets. The relationship of these control segments is shown in Figure 3.2-1. Control Segment specifications are defined in Section 3.2.2.

3.2.1 Description of Use

The interchange header and trailer segments surround one or more functional groups or interchange-related control segments and perform the following functions:

- Define the data element separators and data segment terminators
- Identify the sender and receiver
- Provide control information
- Allow for authorization and security information.

The Interchange Acknowledgment Segment is used to acknowledge one interchange header and trailer envelope where the envelope surrounds one or more functional groups. (No acknowledgment is made for the interchange acknowledgment.)

The interchange control number value in the acknowledgment (TA1 segment) is the same as that for the ISA segment that is being acknowledged. The control number serves as a link between the interchange header and trailer and the acknowledgment of that header and trailer.

The interchange acknowledgment does not report any status on the functional groups contained in the interchange and is separate from the communication system's error procedures.

The preparer of the interchange header and trailer indicates the level of acknowledgment in Data Element 113, Acknowledgment Requested. If an acknowledgment is requested, then the recipient must return an acknowledgment. If not requested, none should be given.

The interchange acknowledgment control segments are placed after the interchange header and before the first functional group or before the interchange trailer if there are no functional groups.

Control segments are standard for all implementation conventions produced for the Department of Defense. Some codes associated with individual data elements within the control segments are unique to the individual transaction set. Others, identify the ANSI version and release in which the convention is written.

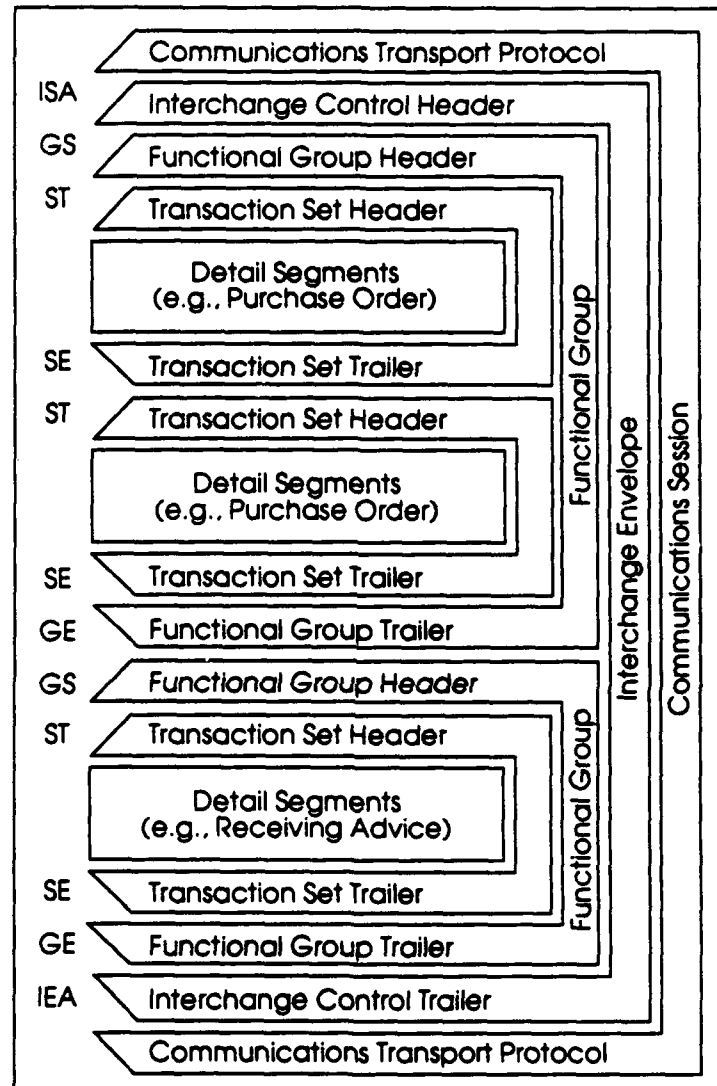


Figure 3.2-1. Hierarchical Structure

3.2.2 Control Segment Specifications

Segment: ISA Interchange Control Header

Purpose: To start and identify an interchange of one or more functional groups and interchange-related control segments.

Data Element Summary

| | REF. DES. | DATA ELEMENT | NAME | ATTRIBUTES | | |
|-----------|--------------|-----------------|--|------------|----|-------|
| Mandatory | ISA01 | I01 | Authorization Information Qualifier Code to identify the type of information in the Authorization Information. 00 No Authorization Information Present (No Meaningful Information in I02) | M | ID | 2/2 |
| Mandatory | ISA02 | I02 | Authorization Information Information used for additional identification or authorization of the sender or the data in the interchange. The type of information is set by the Authorization Information Qualifier. | M | AN | 10/10 |
| | | | Implementation Note: <i>If no authorization information is agreed to by trading partners, fill field with blanks.</i> | | | |
| Mandatory | ISA03 | I03 | Security Information Qualifier Code to identify the type of information in the Security Information. 01 Password | M | ID | 2/2 |
| Mandatory | ISA04 | I04 | Security Information This is used for identifying the security information about the sender or the data in the interchange. The type of information is set by the Security Information Qualifier. | M | AN | 10/10 |
| | | | Implementation Note: <i>An agreed upon password. If no security information is agreed to by trading partners, fill field with blanks.</i> | | | |
| Mandatory | ISA05 | I05 | Interchange ID Qualifier Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified. ZZ Mutually Defined Code Value Implementation Note: <i>An agreed upon designation of DoD Activity Address Code (DoDAAC) or other code coordinated with the value-added network (VAN).</i> | M | ID | 2/2 |
| Mandatory | ISA06 | I06 | Interchange Sender ID Identification code published by the sender for other parties to use as the receiver ID to route data to them. The sender always codes this number in the sender ID element. | M | ID | 15/15 |
| | | | Implementation Note: <i>DoD activities use Department of Defense Activity Address Code (DoDAAC) or other code coordinated with the value-added network (VAN). Non-DoD activities use identification code qualified by ISA05 and coordinated with the VAN.</i> | | | |
| Mandatory | ISA07 | I05 | Interchange ID Qualifier Qualifier to designate the system/method of code structure used to designate the sender or receiver ID element being qualified. ZZ Mutually Defined | M | ID | 2/2 |

DEPARTMENT OF DEFENSE
DRAFT IMPLEMENTATION CONVENTION

997 FUNCTIONAL ACKNOWLEDGMENT
ANSI ASC X12 VERSION/RELEASE 003010DOD

001 - CONTROL SEGMENTS
ISA - INTERCHANGE CONTROL HEADER

| | | | | |
|-----------|-------|---|--|------------|
| | | Code Value Implementation Note: <i>An agreed upon designation of DoD Activity Address Code (DoDAAC) or other code coordinated with the value-added network (VAN).</i> | | |
| Mandatory | ISA08 | I07 | Interchange Receiver ID Identification code published by the receiver of the data. When sending, it is used by the sender as their sending ID, thus other parties sending to them will use this as a receiving ID to route data to them. | M ID 15/15 |
| | | | Implementation Note: <i>DoD activities use Department of Defense Activity Address Code (DoDAAC) or other code coordinated with the value-added network (VAN). Non-DoD activities use identification code qualified by ISA05 and coordinated with the VAN.</i> | |
| Mandatory | ISA09 | I08 | Interchange Date Date of the interchange. | M DT 6/6 |
| | | | Implementation Note: <i>Assigned by translation software. YYMMDD</i> | |
| Mandatory | ISA10 | I09 | Interchange Time Time of the interchange. | M TM 4/4 |
| | | | Implementation Note: <i>Assigned by translation software. HHMM</i> | |
| Mandatory | ISA11 | I10 | Interchange Control Standards Identifier Code to identify the agency responsible for the control standard used by the message that is enclosed by the interchange header and trailer. U U.S. EDI Community of ASC X12, TDCC, and UCS | M ID 1/1 |
| Mandatory | ISA12 | I11 | Interchange Control Version Number This version number covers the interchange control segments and the functional group control segments. 00301 Draft Standard for Trial Use Approved for Publication by ASC X12 Procedures Review Board Through October 1990 | M ID 5/5 |
| | | | Code Value Implementation Note: <i>Version ID as defined or agreed upon by the trading partners.</i> | |
| Mandatory | ISA13 | I12 | Interchange Control Number This number uniquely identifies the interchange data to the sender. It is assigned by the sender. Together with the sender ID it uniquely identifies the interchange data to the receiver. It is suggested that the sender, receiver, and all third parties be able to maintain an audit trail of interchanges using this number. | M NO 9/9 |
| Mandatory | ISA14 | I13 | Acknowledgment Requested Code sent by the sender to request an interchange acknowledgment. 0 No Acknowledgment Requested 1 Interchange Acknowledgment Requested | M ID 1/1 |
| Mandatory | ISA15 | I14 | Test Indicator Code to indicate whether data enclosed by this interchange envelope is test or production. P Production Data T Test Data | M ID 1/1 |

Code Value Implementation Note:

Assigned by translation software.

Mandatory

ISA16

I15

Subelement Separator

M AN 1/1

This is a field reserved for future expansion in separating data element subgroups. (In the interest of a migration to international standards, this should be different from the data element separator).

Implementation Note:

Use character "<".

Segment: GS Functional Group Header

Purpose: To indicate the beginning of a functional group and to provide control information

Syntax: The data interchange control number (GS06) in this header must be identical to the same data element in the associated Functional Group Trailer (GE02).

Comment: A functional group of related transaction sets, within the scope of X12 standards, consists of a collection of similar transaction sets enclosed by a functional group header and a functional group trailer.

Data Element Summary

| | REF. DES. | DATA ELEMENT | NAME | ATTRIBUTES |
|---|--------------|-----------------|--|------------|
| Mandatory | GS01 | 479 | Functional Identifier Code Code identifying a group of application related Transaction Sets. | M ID 2/2 |
| Implementation Note: Choose the code value appropriate to the information content of the functional group. See X12 Dictionary for source code list. | | | | |
| FA Functional Acknowledgment (997) | | | | |
| Mandatory | GS02 | 142 | Application Sender's Code Code identifying party sending transmission. Codes agreed to by trading partners. | M AN 2/15 |
| Implementation Note: DoD activities use Department of Defense Activity Address Code (DoDAAC). Non-DoD activities use identification code assigned by DoD activity. Recommend for increased security that non-DoD code differ from that used in ISA06. | | | | |
| Mandatory | GS03 | 124 | Application Receiver's Code Code identifying party receiving transmission. Codes agreed to by trading partners. | M AN 2/15 |
| Implementation Note: DoD activities use Department of Defense Activity Address Code (DoDAAC). Non-DoD activities use identification code assigned by DoD activity. Recommend for increased security that non-DoD code differ from that used in ISA08. | | | | |
| Mandatory | GS04 | 29 | Group Date Date sender generated a functional group of transaction sets. | M DT 6/6 |
| Implementation Note: Assigned by translation software. | | | | |
| Mandatory | GS05 | 30 | Group Time Time (HHMM) when the sender generated a functional group of transaction sets (local time at sender's location). | M TM 4/4 |
| Implementation Note: Assigned by translation software. | | | | |
| Mandatory | GS06 | 28 | Group Control Number Assigned number originated and maintained by the sender. | M NO 1/3 |

Implementation Note:

Assigned by translation software.

Mandatory

GS07 455 Responsible Agency Code M ID 1/2

Code used in conjunction with Data Element 480 to identify the issuer of the standard.

X Accredited Standards Committee X12

Code Value Implementation Note:

Indicates that an ANSI X12 standard is being transmitted.

Mandatory

GS08 480 Version/Release/Industry ID Code M ID 1/12

Code indicating the version, release, subrelease and industry identifier of the EDI standard being used. Positions 1-3, version number; positions 4-6, release and subrelease level of version; positions 7-12, industry or trade association identifier (optionally assigned by user).

003010 Draft Standards Approved By ASC X12 Through June 1990.

Code Value Implementation Note:

Code value agreed to by trading partners. See X12 Dictionary for source code list.

Segment: GE Functional Group Trailer

Purpose: To indicate the end of a functional group and to provide control information

Syntax: The data interchange control number (GE02) in this trailer must be identical to the same data element in the associated Functional Group Header (GS06).

Comment: The use of identical data interchange control numbers in the associated functional group header and trailer is designed to maximize functional group integrity. The control number is the same as that used in the corresponding header.

Data Element Summary

| REF. DES. | DATA ELEMENT | NAME | ATTRIBUTES |
|---|-----------------|---|------------|
| Mandatory | GE01 | 97 Number of Transaction Sets Included Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element. | M NO 1/6 |
| Implementation Note: <i>Assigned by translation software.</i> | | | |
| Mandatory | GE02 | 28 Group Control Number Assigned number originated and maintained by the sender. | M NO 1/9 |
| Implementation Note: <i>Assigned by the translation software. This control number must match the control number of the preceding GS06 control number.</i> | | | |

001 - CONTROL SEGMENTS
IEA - INTERCHANGE CONTROL TRAILER

997 FUNCTIONAL ACKNOWLEDGMENT
ANSI ASC X12 VERSION/RELEASE 003010DOD

Segment: IEA Interchange Control Trailer

Purpose: To define the end of an interchange of one or more functional groups and interchange-related control segments.

Data Element Summary

| | REF. DES. | DATA ELEMENT | NAME | ATTRIBUTES | | |
|---|--------------|-----------------|---|------------|----|-----|
| Mandatory | IEA01 | I16 | Number of Included Functional Groups A count of the number of functional groups included in a transmission. | M | NO | 1/5 |
| Implementation Note: <i>Assigned by translation software.</i> | | | | | | |
| Mandatory | IEA02 | I12 | Interchange Control Number This number uniquely identifies the interchange data to the sender. It is assigned by the sender. Together with the sender ID it uniquely identifies the interchange data to the receiver. It is suggested that the sender, receiver, and all third parties be able to maintain an audit trail of interchanges using this number. | M | NO | 9/9 |

Implementation Note:
Assigned by the translation software. This number must match the number that occurs in ISA13.

3.3 EXAMPLE OF CONVENTION USE

EXAMPLE - FUNCTIONAL ACKNOWLEDGMENT TRANSACTION SET (997)

ASC X12 EDI FORMAT

DEFINITION

ST*997*0001 N/L

THIS IS A 997 FUNCTIONAL
ACKNOWLEDGMENT TRANSACTION SET
WITH A CONTROL NUMBER OF 0001.

AK1*IN*12345 N/L

A FUNCTIONAL ACKNOWLEDGMENT OF AN
810 INVOICE WITH A GROUP CONTROL
NUMBER OF 12345.

AK2*810*000006 N/L

ACKNOWLEDGING 810 TRANSACTION WITH
CONTROL NUMBER 000006.

AK3*PER*6**1 N/L

INDICATES UNRECOGNIZED SEGMENT ID
IN THE 6TH SEGMENT, PER.

AK4*1**6*12X N/L

INDICATES PER01, DATA ELEMENT 1
CONTAINS ILLEGAL CHARACTER "X".

AK5*R*5 N/L

TRANSACTION REJECTED BECAUSE ONE
OR MORE SEGMENTS IN ERROR.

AK9*R*1*33*32 N/L

SINGLE TRANSACTION REJECTED; 32 OF 33
RECEIVED ACCEPTED.

SE*8*0001 N/L

THE TRANSACTION SET HAS 8 SEGMENTS
AND THE CONTROL NUMBER IS 0001.

NOTE: ALL NUMBERS ARE NOTIONAL AND USED FOR ILLUSTRATION PURPOSES ONLY.

3.4 DoD CONVENTION

997 Functional Acknowledgment

This standard provides the format and establishes the data contents of a functional acknowledgment transaction set. The purpose of this standard is to define the control structures for a set of acknowledgments to indicate the results of the syntactical analysis of the electronically encoded documents. The encoded documents are the transaction sets, which are grouped in functional groups, used in defining transactions for business data interchange. This standard does not cover the semantic meaning of the information encoded in the transaction sets.

Table 1

| PAGE # | POS. # | SEG. ID | NAME | REQ. DES. | MAX USE | LOOP REPEAT |
|--------|--------|---------------|-----------------------------------|-----------|---------|-------------|
| 2 | 010 | ST | Transaction Set Header | M | 1 | |
| 3 | 020 | AK1 | Functional Group Response Header | M | 1 | |
| | | LOOP ID - AK2 | | | | >1 |
| 4 | 030 | AK2 | Transaction Set Response Header | O | 1 | |
| | | LOOP ID - AK3 | | | | >1 |
| 5 | 040 | AK3 | Data Segment Note | O | 1 | |
| 7 | 050 | AK4 | Data Element Note | O | 99 | |
| 8 | 060 | AK5 | Transaction Set Response Trailer | M | 1 | |
| 9 | 070 | AK9 | Functional Group Response Trailer | M | 1 | |
| 11 | 080 | SE | Transaction Set Trailer | M | 1 | |

ANSI ASC X12 VERSION/RELEASE 003010DOD_

Mandatory

Segment: **ST** Transaction Set Header

Level: Header

Loop: _____

Usage: Mandatory

Max Use: 1

Purpose: To indicate the start of a transaction set and to assign a control number

Comment: The transaction set identifier (ST01) is intended for use by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the invoice transaction set).

Data Element Summary

Mandatory

| REF. DES. | DATA ELEMENT | NAME | ATTRIBUTES |
|--------------------------------------|-----------------|---|------------|
| ST01 | 143 | Transaction Set Identifier Code Code uniquely identifying a Transaction Set. | M ID 3/3 |
| 997 X12.20 Functional Acknowledgment | | | |

Mandatory

| | | | |
|------|-----|--|----------|
| ST02 | 329 | Transaction Set Control Number Identifying control number assigned by the originator for a transaction set. | M AN 4/9 |
|------|-----|--|----------|

997 - FUNCTIONAL ACKNOWLEDGEMENT
AK1 - FUNCTIONAL GROUP RESPONSE HEADER

ANSI ASC X12 VERSION/RELEASE 003010DOD

Mandatory

Segment: **AK1** Functional Group Response Header

Level: Header

Loop: _____

Usage: Mandatory

Max Use: 1

Purpose: To start acknowledgment of a functional group.

Comment: AK102 is the data interchange control number found in the GS segment in the functional group being acknowledged.

Data Element Summary

Mandatory

| REF. DES. | DATA ELEMENT | NAME | ATTRIBUTES | | |
|---|-----------------|----------------------------|------------|----|-----|
| AK101 | 479 | Functional Identifier Code | M | ID | 2/2 |
| Code identifying a group of application related Transaction Sets. | | | | | |

Implementation Note:

Any code may be used.

Mandatory

| | | | | | |
|--|----|----------------------|---|----|-----|
| AK102 | 28 | Group Control Number | M | NO | 1/9 |
| Assigned number originated and maintained by the sender. | | | | | |

Implementation Note:

As transmitted by the sender in GS06.

Optional

Segment: AK2 Transaction Set Response Header

Level: Header

Loop: AK2 **Repeat:** >1

Usage: Optional

Max Use: 1

Purpose: To start acknowledgment of a single transaction set.

Comment: AK202 is the transaction set control number found in the ST segment in the transaction set being acknowledged.

Data Element Summary

| | REF. DES. | DATA ELEMENT | NAME | ATTRIBUTES | | |
|-----------|--|-----------------|--|------------|----|-----|
| Mandatory | AK201 | 143 | Transaction Set Identifier Code Code uniquely identifying a Transaction Set. | M | ID | 3/3 |
| | Implementation Note: Use any code. | | | | | |
| Mandatory | AK202 | 329 | Transaction Set Control Number Identifying control number assigned by the originator for a transaction set. | M | AN | 4/9 |
| | Implementation Note: As transmitted by the sender in ST02. | | | | | |

997 • FUNCTIONAL ACKNOWLEDGEMENT
AK3 • DATA SEGMENT NOTE

ANSI ASC X12 VERSION/RELEASE 003010DOD_

Segment: AK3 Data Segment Note
Level: Header
Loop: AK3 **Repeat:** >1
Usage: Optional
Max Use: 1
Purpose: To report errors in a data segment and to identify the location of the data segment.

Data Element Summary

| | REF. DES. | DATA ELEMENT | NAME | ATTRIBUTES |
|-----------|--------------|-----------------|--|------------|
| Mandatory | AK301 | 721 | Segment ID Code Code defining the segment ID of the data segment in error. See Appendix A - Number 77. | M ID 2/3 |
| | | | Implementation Note: Use the segment ID as it appears in the ASC X12 Data Segment Directory, e.g., REF, PER, N1, etc. | |
| Mandatory | AK302 | 719 | Segment Position in Transaction Set The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1. | M NO 1/6 |
| | | | Implementation Note: e.g., 1, 2, 3, etc. | |
| Optional | AK303 | 447 | Loop Identifier Code Code identifying a loop within the transaction set which is bounded by the related LS and LE segments (corresponding LS and LE segments must have the same value for loop identifier). (Note: The loop ID number given on the transaction set diagram is recommended as the value for this data element in segments LS and LE.) | O ID 1/4 |
| | | | Implementation Note: e.g., N1, PO1, etc. | |
| Optional | AK304 | 720 | Segment Syntax Error Code Code indicating error found based on the syntax editing of a segment | O ID 1/3 |
| | | | Implementation Note: Use any code. | |
| Optional | AK305 | 720 | Segment Syntax Error Code Code indicating error found based on the syntax editing of a segment | O ID 1/3 |
| | | | Implementation Note: Use any code. | |
| Optional | AK306 | 720 | Segment Syntax Error Code Code indicating error found based on the syntax editing of a segment | O ID 1/3 |
| | | | Implementation Note: Use any code. | |
| Optional | AK307 | 720 | Segment Syntax Error Code Code indicating error found based on the syntax editing of a segment | O ID 1/3 |

Optional

Implementation Note:

Use any code.

AK308 720 Segment Syntax Error Code

O ID 1/3

Code indicating error found based on the syntax editing of a segment

Implementation Note:

Use any code.

997 - FUNCTIONAL ACKNOWLEDGEMENT
AK4 - DATA ELEMENT NOTE

ANSI ASC X12 VERSION/RELEASE 003010DOD

| | | | |
|----------------------|---|-------------------|---|
| Optional | Segment: AK4 Data Element Note | | |
| | Level: Header | | |
| | Loop: AK3 | | |
| | Usage: Optional | | |
| | Max Use: 99 | | |
| | Purpose: To report errors in a data element and to identify the location of the data element. | | |
| Data Element Summary | | | |
| | REF. DES. | DATA ELEMENT NAME | ATTRIBUTES |
| Mandatory | AK401 | 722 | Element Position in Segment This is used to indicate the relative position of the data element in error in this data segment. The count starts with 1 for the data element immediately following the segment ID. This value is 0 for an error in the segment ID. |
| | Implementation Note: AK4 = 0, AK401 = 1, AK402 = 2, etc. | | |
| Optional | AK402 | 725 | Data Element Reference Number Reference number used to locate the Data Element Dictionary. |
| | Implementation Note: AK401 = 722, AK402 = 725, etc. | | |
| Mandatory | AK403 | 723 | Data Element Syntax Error Code Code indicating the error found after syntax edits of a data element. |
| | Implementation Note: Use any code. | | |
| Optional | AK404 | 724 | Copy of Bad Data Element This is a copy of the data element in error. |

| | | | | | |
|-----------------------------|---|---------------------|---|-------------------|-----|
| | Segment: AK5 Transaction Set Response Trailer | | | | |
| | Level: Header | | | | |
| | Loop: AK2 | | | | |
| Mandatory | Usage: Mandatory | | | | |
| | Max Use: 1 | | | | |
| | Purpose: To acknowledge acceptance or rejection and to report errors in a transaction set. | | | | |
| Data Element Summary | | | | | |
| | REF. DES. | DATA ELEMENT | NAME | ATTRIBUTES | |
| Mandatory | AK501 | 717 | Transaction Set Acknowledgment Code Code indicating accept or reject condition based on the syntax editing of the transaction set. | M ID | 1/1 |
| | Implementation Note: Use any appropriate code. | | | | |
| Optional | AK502 | 718 | Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set. | O ID | 1/3 |
| | Implementation Note: Use any code. | | | | |
| Optional | AK503 | 718 | Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set. | O ID | 1/3 |
| | Implementation Note: Use any code. | | | | |
| Optional | AK504 | 718 | Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set. | O ID | 1/3 |
| | Implementation Note: Use any code. | | | | |
| Optional | AK505 | 718 | Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set. | O ID | 1/3 |
| | Implementation Note: Use any code. | | | | |
| Optional | AK506 | 718 | Transaction Set Syntax Error Code Code indicating error found based on the syntax editing of a transaction set. | O ID | 1/3 |
| | Implementation Note: Use any code. | | | | |

997 - FUNCTIONAL ACKNOWLEDGEMENT
AK9 - FUNCTIONAL GROUP RESPONSE TRAILER

ANSI ASC X12 VERSION/RELEASE 003010DOD

| | Segment: AK9 Functional Group Response Trailer | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|---|-----------------|------|------------|------------------|------------------|---|-----------------|--|--|--|--|------------------|-----------------|---|-----------------|------------------|------------------|--|-----------------|------------------|----------------|--|-----------------|-----------------|------------------|--|-----------------|--|--|--|--|-----------------|------------------|--|-----------------|--|--|--|--|-----------------|------------------|--|-----------------|--|--|--|--|-----------------|------------------|---|-----------------|
| | Level: Header | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Loop: _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mandatory | Usage: Mandatory | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Max Use: 1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Purpose: To acknowledge acceptance or rejection of a functional group and report the number of included transaction sets from the original trailer, the accepted sets, and the received sets in this functional group. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Comment: If AK901 is 'A' or 'E', then the transmitted functional group is accepted. If AK901 is 'R', then the transmitted group is rejected. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Data Element Summary | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <table><tr><th>REF. DES.</th><th>DATA ELEMENT</th><th>NAME</th><th>ATTRIBUTES</th></tr><tr><td>Mandatory</td><td>AK901 715</td><td>Functional Group Acknowledge Code Code indicating accept or reject condition based on the syntax editing of the functional group.</td><td>M ID 1/1</td></tr><tr><td colspan="4">Implementation Note: Use any code.</td></tr><tr><td>Mandatory</td><td>AK902 97</td><td>Number of Transaction Sets Included Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element.</td><td>M NO 1/6</td></tr><tr><td>Mandatory</td><td>AK903 123</td><td>Number of Received Transaction Sets Number of Transaction Sets received.</td><td>M NO 1/6</td></tr><tr><td>Mandatory</td><td>AK904 2</td><td>Number of Accepted Transaction Sets Number of accepted Transaction Sets in a Functional Group.</td><td>M NO 1/6</td></tr><tr><td>Optional</td><td>AK905 716</td><td>Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the header and/or trailer.</td><td>O ID 1/3</td></tr><tr><td colspan="4">Implementation Note: Use any code.</td></tr><tr><td>Optional</td><td>AK906 716</td><td>Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the header and/or trailer.</td><td>O ID 1/3</td></tr><tr><td colspan="4">Implementation Note: Use any code.</td></tr><tr><td>Optional</td><td>AK907 716</td><td>Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the header and/or trailer.</td><td>O ID 1/3</td></tr><tr><td colspan="4">Implementation Note: Use any code.</td></tr><tr><td>Optional</td><td>AK908 716</td><td>Functional Group Syntax Error Code</td><td>O ID 1/3</td></tr></table> | REF. DES. | DATA ELEMENT | NAME | ATTRIBUTES | Mandatory | AK901 715 | Functional Group Acknowledge Code Code indicating accept or reject condition based on the syntax editing of the functional group. | M ID 1/1 | Implementation Note: Use any code. | | | | Mandatory | AK902 97 | Number of Transaction Sets Included Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element. | M NO 1/6 | Mandatory | AK903 123 | Number of Received Transaction Sets Number of Transaction Sets received. | M NO 1/6 | Mandatory | AK904 2 | Number of Accepted Transaction Sets Number of accepted Transaction Sets in a Functional Group. | M NO 1/6 | Optional | AK905 716 | Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the header and/or trailer. | O ID 1/3 | Implementation Note: Use any code. | | | | Optional | AK906 716 | Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the header and/or trailer. | O ID 1/3 | Implementation Note: Use any code. | | | | Optional | AK907 716 | Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the header and/or trailer. | O ID 1/3 | Implementation Note: Use any code. | | | | Optional | AK908 716 | Functional Group Syntax Error Code | O ID 1/3 |
| REF. DES. | DATA ELEMENT | NAME | ATTRIBUTES | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mandatory | AK901 715 | Functional Group Acknowledge Code Code indicating accept or reject condition based on the syntax editing of the functional group. | M ID 1/1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Implementation Note: Use any code. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mandatory | AK902 97 | Number of Transaction Sets Included Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element. | M NO 1/6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mandatory | AK903 123 | Number of Received Transaction Sets Number of Transaction Sets received. | M NO 1/6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mandatory | AK904 2 | Number of Accepted Transaction Sets Number of accepted Transaction Sets in a Functional Group. | M NO 1/6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Optional | AK905 716 | Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the header and/or trailer. | O ID 1/3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Implementation Note: Use any code. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Optional | AK906 716 | Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the header and/or trailer. | O ID 1/3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Implementation Note: Use any code. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Optional | AK907 716 | Functional Group Syntax Error Code Code indicating error found based on the syntax editing of the header and/or trailer. | O ID 1/3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Implementation Note: Use any code. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Optional | AK908 716 | Functional Group Syntax Error Code | O ID 1/3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

DEPARTMENT OF DEFENSE
DRAFT IMPLEMENTATION CONVENTIONS

ANSI ASC X12 VERSION/RELEASE 003010DOD_

997 • FUNCTIONAL ACKNOWLEDGEMENT
AK9 • FUNCTIONAL GROUP RESPONSE TRAILER

| | | | |
|----------|--|-----|------------------------------------|
| Optional | Code indicating error found based on the syntax editing of the functional group header and/or trailer. | | |
| | Implementation Note: <i>Use any code.</i> | | |
| | AK909 | 716 | Functional Group Syntax Error Code |
| | Code indicating error found based on the syntax editing of the functional group header and/or trailer. | | |

O ID 1/3

Implementation Note:
Use any code.

997 • FUNCTIONAL ACKNOWLEDGEMENT
SE • TRANSACTION SET TRAILER

ANSI ASC X12 VERSION/RELEASE 003010DOD

Mandatory

Segment: **SE** Transaction Set Trailer

Level: Header

Loop: _____

Usage: Mandatory

Max Use: 1

Purpose: To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments).

Comment: SE is the last segment of each transaction set.

Data Element Summary

Mandatory

| REF. DES. | DATA ELEMENT | NAME | ATTRIBUTES |
|--------------|-----------------|--|------------|
| SE01 | 96 | Number of Included Segments Total number of segments included in a transaction set including ST and SE segments. | M NO 1/6 |

Mandatory

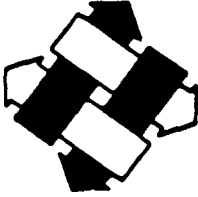
| | | | |
|------|-----|---|----------|
| SE02 | 329 | Transaction Set Control Number Identifying control number assigned by the originator for a transaction set. | M AN 4/9 |
|------|-----|---|----------|

Implementation Note:

This is the same number as the one in ST02.

4.0 ASC X 12 FORMS

In this chapter, applicable ASC X12 forms are presented.



VIII - FORMS, FORMS, FORMS

ASC X12 Work Request Form

ASC X12 New Project Proposal Form

ASC X12 New Transaction Set Development Form

Form for New or Revised Appendix A Code Source Reference

Document Preparation for Interpretations, Guidelines and Control Standards

Sample Transmittal Form

ASC X12 Ballot Comment Response Letter Format

ASC X12 Standards Order Form

Rev. 5/10/90

DATE SUBMITTED _____

DM NUMBER _____

(Secretariat Only)

ASC X12

WORK REQUEST FORM

ALL REQUESTS MUST BE TYPED or printed legibly in black ink. Complete both sides.

1. TO USE THIS FORM FOR SUPPORTING DATA MAINTENANCE FOR A NEW DRAFT STANDARD OR X12 INTERPRETATION, list all requirement on ONE form. Use attachments as necessary. List first all new segments, then all new data elements/codes/code sources. Then list revisions to existing segments and data elements/codes/code sources. Then list any others (e.g., X12.5, X12.6).
2. TO USE THIS FORM TO REQUEST A CHANGE TO AN EXISTING STANDARD, use a separate Work Request Form to list all changes for one transaction set, one segment, one control structure, or one data element. All sections must be completed. Attachments may be used for continuation and should be numbered.
3. TO USE THIS FORM TO REQUEST A PROPOSED NEW X12 PROJECT, complete Section A. Provide a purpose/scope and describe any new features involved in Section B. Provide a description of the business need and justification for the new project in Section C/Part II. The Work Request will be forwarded to an appropriate X12 subcommittee for analysis and preparation of a project proposal.

Circle One: (1) New Standard Supporting Data Maintenance (use attachments)
(2) Existing Standard Maintenance Request (see Section D)
(3) Request for New X12 Project

Acronyms/abbreviations cannot be added to the standards. Industry-specific terms must be clearly explained. Provide Appendix A code source references for all externally published code lists cited. Incomplete forms or those with inadequate support for the change requested will be returned to the submitter.

A. SUBMITTER INFORMATION

Submitter: Name _____
Company _____
Address _____
Address/ZIP _____
Phone _____

Indicate the X12 subcommittee or task group whose position is represented here.

I declare that this represents the official position of X12 WORK GROUP: _____
established at the meeting dated _____.

B. PROPOSED WORK: List the specific changes to the standards being requested. Give the names and associated identifiers of the standards, segments, data elements and codes affected.

Page Two

C. REASON FOR CHANGE:

Part I: List the version/release of the standard you are using or using as a reference. Name the transaction set that is being/will be used that dictates the requested change. List affected segments and data elements, or other standards. Provide only reference numbers/IDs.

Reference Source Version 2/Release _____
Transaction Set Used _____
Segment Affected _____
Data Element Affected _____
Other Standard _____

Part II: Explain why you need the proposed change. Provide a complete scenario that tells what the business function, operation, or problem is that will be satisfied by a change to the standard. The X12J Technical Assessment Subcommittee requires enough information in this Part II to be able to propose an alternate solution if necessary.

D. RAMIFICATIONS: If you circled (2) on Page 1, complete this section. To ensure that all ramifications of your proposed change are recorded and that your request is complete, circle below all sections of the standards affected by the proposed change.

| | | | |
|------------------------|------------------|----------------|--------------------|
| TRANSACTION SET | Name | Purpose/Scope | Table Note/Comment |
| | Segment Position | Require. Des. | Max. Use |
| | Loop Repeat | Loop Structure | Add Segment |
| | Delete Segment | | |

| | | | |
|----------------|---------------|-------------|---------------------|
| SEGMENT | Identifier | Name | Definition |
| | Add DE | Delete DE | Position in Segment |
| | Require. Des. | Syntax Note | Semantic Note |
| | Comment | | |

| | | | |
|---------------------|---------|-------------|------|
| DATA ELEMENT | Name | Description | Type |
| | Min/Max | | |

| | | | |
|-------------|----------|-------------|-------------|
| CODE | Add code | Delete Code | Revise Code |
|-------------|----------|-------------|-------------|

OTHER (e.g., X12.5, X12.6):

ERRORS NOTED IN THE STANDARD (Give page no. and other identification):

PP No. _____
(Secretariat Only)

ASC X12 NEW PROJECT PROPOSAL FORM

PROCEDURE: Only X12 subcommittees may use this form to register new development activities as X12 project proposals (PPs). Complete all pages. PPs approved by the X12 Procedures Review Board will be registered and assigned a PP number by DISA, and a Transmittal Form will be issued.

Date and complete the form below. Type or print legibly in black ink and number all attachment pages consecutively. Submit to DISA prior to an ASC X12 meeting, or to X12J Technical Assessment Subcommittee during the subcommittee's agenda period at an ASC X12 meeting.

Date Submitted: _____

Date Approved by Subcommittee: _____

Subcommittee Name: _____

Task Group Name/No.: _____

Joint Development Subcommittee (if any): _____

Circle one: (a) Transaction Set (b) Guideline (c) Other

Project Working Title: _____

Official Delegate(s) for This Project To Be Named on Transmittal Form:

Name _____ Name _____

Company _____ Company _____

Address _____ Address _____

Address/ZIP _____ Address/ZIP _____

Telephone _____ Telephone _____

A. PURPOSE AND SCOPE FOR THE PROPOSED WORK: Provide a well-defined purpose/scope for the proposed work. See X12 Design Rules and Guidelines for requirements.

B. BACKGROUND: Provide details that will be helpful in reviewing the proposal. Who are the expected users? How will the standard be used? What business function(s) does it serve?. If the proposed standard overlaps the functionality of an existing standard or one in development, provide justification. If the proposal is not for a new standard or guideline, describe the project in detail. (Use attachments if necessary.)

C. OTHER STANDARDS INVOLVED: If applicable, identify any other business information standards that are similar/related to the proposal, and name standards developers (e.g., ANSI Accredited Standards Committees) whose activities may be involved or affected.

D. EXPECTED CONTENT/GENERAL DESCRIPTION: (OPTIONAL) Submitter may attach a preliminary draft of the proposed standard or other supporting documentation. Discuss new segments, data elements, control structures, and changes to X12.5 or X12.6 that are required or anticipated. (Use attachments.)

4/1/90

FORM FOR NEW OR REVISED APPENDIX A CODE SOURCE REFERENCE

INSTRUCTIONS: Complete this form whenever a new data element or data element code is requested to be added which references a code list published by an external (non-X12) organization. Use one form for each new reference. This form may be used to revise current references; fill out the appropriate areas below.

CIRCLE ONE, COMPLETE AS APPROPRIATE:

(1) NEW REFERENCE

(2) REVISED REFERENCE, Current reference number/name _____

REFERENCE TITLE: If there is only one source for codes for the data element, the title should be the same as the data element name. If there are multiple codes referencing external code sources for the same data element, title should approximate the code definition.

REFERENCE TITLE:

DATA ELEMENTS USED IN: Give the data element reference number and name which directs the user to this Appendix A code source reference. Give the code ID (if assigned) if this is for a specific code of the data element.

USED IN: DE No. _____, Code ID _____

SOURCE: Provide the name of the publication which contains the codes referenced.

PUBLISHED IN:

AVAILABLE FROM: Give the publisher, or other contact, from whom the user can obtain the document.

Name/Attn of _____
Company _____
Address _____
Address _____
Address/ZIP _____

ABSTRACT: Briefly describe the publication, its purpose, and indicate what codes it contains.

ABSTRACT:

Rev. 4/1/80

DOCUMENT PREPARATION FOR INTERPRETATIONS, GUIDELINES AND CONTROL STANDARDS

These instructions are provided to assist developers of interpretations, guidelines and control structure which are not transaction sets (for transaction sets use the New Transaction Set Development Form).

GENERAL: DISA provides title page and front matter for publications and copyedit the document according to DISA house style.

REVISIONS: If the document is a revision of a previously published interpretation, guideline or standard, provide a summary of the changes to the original that are contained in the document.

I INTERPRETATIONS

A formal interpretation of an X12TM Standard is considered part of the body of standards when it is approved for publication. The interpretation draft should state the issue presented by the requestor, state the proposed interpretation, and show as attachments any Work Requests that may be necessary to effect the interpretation within the subject standard. The draft interpretation is processed like any other subcommittee document.

II GUIDELINES

For publication purposes, guidelines are treated like a journal article. Basic requirements are given below.

ABSTRACT: This is a precise summary of the Purpose/Scope (see below), and may be identical to it if that is brief (two paragraphs); otherwise summarize the purpose/scope. It should contain enough information about the document to enable a reader determine what the guideline is intended to accomplish within an EDI environment.

PURPOSE AND SCOPE: This statement must indicate purpose of the guideline, e.g., the business function or operation addressed. Scope and any specific limitations of scope should be defined.

BODY OF TEXT: This may be a number of subsections logically organized. Provide sections for foreword, introduction, definition of terms and concepts, references and related standards, methodology, specifications, requirements, discussion, and conclusions, as appropriate to the subject.

ART AND GRAPHICS: Graphics or artwork necessary to illustrate the document are encouraged. Provide camera-ready copy if these are not already prepared and delivered on a WP diskette to DISA.

FOREWORD, FOOTNOTES, APPENDICES: These may be used for purposes of clarity, illustration, or general information, not as "part of the guideline." A statement indicating the material is for information purposes only and not part of the guideline shall appear at the beginning of a foreword or appendix.

III CONTROL STRUCTURES AND OTHER STANDARDS

For publication purposes, these documents are treated like guidelines (see Section II above). The requirements are the same, with the addition of the following:

NEW SEGMENTS AND DATA ELEMENTS: These may be defined within the text; however, since they represent changes to X12.22 and X12.3, they should be specified on a Work Request Form attached to the draft.

RELATED X12TM STANDARDS AND OTHER REFERENCES: These shall be identified in a section within the text.

Page Two

FORMAT: "This Draft Standard for Trial Use contains the format and establishes the data contents of the _____ Transaction Set (____) for use within the context of an Electronic Data Interchange (EDI) environment. The transaction set (can be used to...)"

C. PURPOSE AND SCOPE This statement must indicate the full range of capabilities of the transaction set, and who the senders/receivers are. Explain the business function or operation that is addressed. Follow ASC X12 Design Rules and Guidelines and use this format:

FORMAT: "This standard provides the format and establishes the data contents of the _____ Transaction Set within the context of an Electronic Data Interchange (EDI) environment. This transaction set (can be used to...)"

D. TRANSACTION SET TABLE(S) For each table provide the following information. FORMAT:

TABLE X

| POSITION NO. | SEGMENT ID | TITLE | REQ. DES. | MAX. USE. | LOOP REPEAT COUNT | NOTE REF. |
|-----------------|---------------|------------------------|--------------|--------------|----------------------|--------------|
| 010 | ST | Transaction Set Header | M | 1 | | Note 1 |
| 020 | BB | Beginning Segment For | M | 1 | | Comment 1 |
| etc. | | | | | | |

Note 1: This is a note. NOTES are part of the standard (numbered).

Comment A: This is a comment. COMMENTS are not part of the standard (lettered).

E. APPENDIX EXAMPLES Examples are used to test the merit of the proposed transaction and to explain it to users. At least one example is mandatory. No recognizable proper names may be used in any example.

FIGURE 1: (Optional) Use a sample paper document using mock data. If used, data must be accurately mapped to Figure 2. Original graphics must be attached (8-1/2x11") so they can be copied.

FIGURE 2 (or EXAMPLE): Title the figure and provide a Business Scenario to explain to the reader what is going on in the example. Add the note: "In this example the asterisk (*) represents the data element separator and the N/L characters represent the segment terminator." Present EDI transmission data and its meaning in two columns, side-by-side. ZZ or ZZZ codes are discouraged, since their usefulness in an explanatory example is nil. FORMAT:

BUSINESS SCENARIO: In this transaction set the sender is XYZ Retail Center and the receiver is their supplier, Fantastic Products Manufacturing, Inc....etc.

EDI TRANSMISSION DATA

(TRANSACTION SET PURPOSE) DATA

ST*8XX*0005 N/L
No. 0005
BB*01*79800* N/L
79800
etc.

Begin Transaction Set 8XX; Control
Original Transmission; Ref. No.

Rev. 5/10/80

DM Number _____
(Secretariat Only)

Document No. _____
(Developer Obtains from DISA)

ASC X12 NEW TRANSACTION SET DEVELOPMENT FORM

INSTRUCTIONS: Use this form to submit a draft transaction set for review by X12J Technical Assessment until it is text processed by DISA. Use a new Transaction Set Development Form whenever revisions are proposed and a text file has not yet been prepared by DISA.

ATTACHMENTS: Attach all pages; use this form as the first. Follow these instructions for preparing materials.

The submitter must obtain a document number assignment from DISA. Post it to this form (above).

Attach a List of Revisions if the draft was previously reviewed by X12J or if this is a revised/redesigned transaction set standard requiring X12 ballot.

Use ONE Work Request Form to list all supporting data maintenance for the transaction set and attach it to this form. Propose new or revised codes for DE 143 and DE 479 at a minimum, if required.

A Transmittal Form must accompany this document when it is submitted to DISA for distribution.

Use the most recent X12™ Standards Development Workbook to check your document for accuracy.

A. SUBMITTER INFORMATION

Submitter: Name _____
Company _____
Address _____
Address/ZIP _____
Phone _____

Indicate the X12 subcommittee or task group whose position is represented here.

I declare that this represents the official position of X12 WORK GROUP: _____
established at the meeting dated _____.

B. ABSTRACT The Abstract is registered with the American National Standards Institute. It is a precise summary of the Purpose/Scope (see Section C below). It may be identical to the Purpose/Scope if that is brief (two paragraphs), otherwise summarize the purpose/scope. It should contain enough information about the standard to enable a potential user determine what equivalent paper transaction it represents or what the standard is intended to do. Follow the format on page two.

SAMPLE TRANSMITTAL FORM

Initialized

KEY DATE: February 15, 1990

DELEGATE'S NAME
RESPONSIBLE SUBCOMMITTEE/TG#

John Doe
ASC X12Q XX Subcommittee/TG4

TRANSACTION SET/GUIDELINE TITLE

X12.XX ABC/XYZ TRANSACTION SET (8XX)

BALLOT Document No.
Current Document No.
Previous Document No.
Project Proposal No.
Associated WR/DM No.

ASC X12Q/90-051
ASC X12Q/90-004
PP-999
DM 012-190

PROJECT PROPOSAL

PP Review by X12J

(DATE) 2/7/90

PRB Approves PP

(DATE) 2/9/90

DEVELOPMENT PHASE: Project proposal approval through approval for X12 vote.

Document Submitted for DISA Text Processing
Subcommittee Approves Draft for Review by X12J, Tech Assessment
X12J Tech Assessment Review
PRB Approves Document for X12 Vote

(DATE) _____
(DATE) _____
(DATE) _____
(DATE) _____

ORIGINAL BALLOT DATA (DISA):

Ballot Closed Date
Tally/Comments Sent to Chair/Delegates
Tally Stats (Number and Percent)
_____ Ballots Mailed (100%)
_____ Ballots Returned (____%)
_____ Approved (____%)
_____ App w/Comment (____%)
_____ Disapproved (____%)
_____ Abstained (____%)

(DATE) _____
(DATE) _____

Page Two

COMMENT RESOLUTION PHASE: See Sections A, B and C. If the subcommittee at any time decides to rebalot the document, PRB approval is required and response letters are not necessary.

A. COMMENT RESPONSE LETTERS: An Open Forum must be scheduled at the next X12 meeting following the ballot closing date. All those who commented receive a comment response letter from the developing subcommittee. DISA records this process and handles the mailing.

Open Forum Date (DATE) _____
Response Letters Mailed Out by DISA (DATE) _____
Rebuttal Period (30 days) Closes (DATE) _____

ADJUSTED BALLOT DATA (DISA):

30-Day Response Review Closed Date (DATE) _____
Tally/Comments Sent to Chair/Delegates (DATE) _____
Tally Stats (Number and Percent)
_____ Ballots Mailed (100%)
_____ Ballots Returned (____%)
_____ Approved (____%)
_____ App w/Comment (____%)
_____ Disapproved (____%)
_____ Abstained (____%)

B. SUBSTANTIVE REVISION: If ballot comments result in substantive revisions to the document, these are reviewed by X12J and processed by DISA. The revised document is submitted to X12 voters for a 30-day review period. DISA records this process/handles mailing. Subcommittees should conduct 30-day reviews for response letters/revised documents concurrently.

Subcommittee Approval of Revisions (DATE) _____
X12J Review of Revisions (DATE) _____
DISA Mails Revised Document (DATE) _____
Substantive Revision 30-Day Review Closes (DATE) _____

ADJUSTED BALLOT DATA (DISA):

30-Day Substantive Change Review Closed Date (DATE) _____
Tally/Comments Sent to Chair/Delegates (DATE) _____
Tally Stats (Number and Percent)
_____ Ballots Mailed (100%)
_____ Ballots Returned (____%)
_____ Approved (____%)
_____ App w/Comment (____%)
_____ Disapproved (____%)
_____ Abstained (____%)

Page Three

C. CONTINUING OBJECTIONS. If there are continuing disapprovals after the 30-day review period, the document/disapprovals/responses/continuing objections are mailed to X12 members who originally cast a ballot, for another 30-day review, to give them an opportunity to change their vote.

Continuing Objections Mailed to Chair/Delegate by DISA
DISA Mails Documents
30-Day Review Closes

(DATE) _____
(DATE) _____
(DATE) _____

FINAL ADJUSTED TALLY (DISA): Whenever any disapprovals are withdrawn, a letter to this effect must be received in writing by DISA.

Final Tally Results Sent to Chair/Delegate
30-Day Review Stats (Adjusted Tally)

(DATE) _____

_____ Ballots Mailed (100%)
_____ Ballots Returned (____%)
_____ Approved (____%)
_____ App w/Comment (____%)
_____ Disapproved (____%)
_____ Abstained (____%)

PRB APPROVAL PHASE: After the comment resolution period, the subcommittee votes to submit the document to the PRB for approval to publish.

Subcommittee Votes to Release to PRB
PRB Approves Publication

(DATE) _____
(DATE) _____

FOR DRAFT STANDARDS FOR TRIAL USE:
VERSION/RELEASE/SUBRELEASE ID CODE ASSIGNED: _____

Page Four

TRANSMITTAL FORM INSTRUCTIONS:

GENERAL: This Transmittal Form is a TURNAROUND DOCUMENT which records the history/current status of a project document. It is used to exchange information between the Secretariat and the committees of X12. Information is cumulative (add on). This form is attached to the document whenever it is issued for distribution (it is mandatory for submitting documents to DISA, X12J Technical Assessment, and the PRB). Document control numbers are still required on each document, and new numbers are required whenever it is revised.

KEY DATE: This is used to identify the latest version of the document (date associated with the current transmittal form update).

DELEGATE: Each subcommittee designates an individual (delegate) from the group responsible for the project. The Secretariat must be informed if the delegate changes.

INITIATION: Primary data is recorded by DISA on the initialized form after the project proposal is approved by the PRB. The subcommittee chair and delegate(s) receive the initialized Transmittal Form from DISA; thereafter, they are responsible for recording the appropriate subcommittee approval dates. The chair/delegate will receive a copy of the updated transmittal form whenever it is revised by DISA.

UPDATING: At each appropriate step, DISA will POST fresh data to the form, ADD the next appropriate blanks to the form, and SEND it to the subcommittee chair/delegate at each status change. The delegate must POST the form with fresh data at each status change for which the subcommittee is responsible and SEND it with the appropriate document to the Secretariat.

01000

ASC X12 BALLOT COMMENT RESPONSE LETTER FORMAT

GENERAL INFORMATION

AFTER AN X12 BALLOT, THE RESPONSIBLE SUBCOMMITTEE (OR ITS DESIGNATED TASK GROUP) MUST respond in writing to all disapproval votes. The Organization & Procedures manual (OPM) states that you are not required to respond to those members who approved with comment, but typically all commenters are responded to. The OPM states that all comment responses must be coordinated with the Subcommittee Chair.

There are two response letter formats from which to choose: a generic letter which will be sent to all commenters, and a individualized response to each commenter. See instructions below and the attachments.

OPTION 1: GENERIC LETTER (MASTER LETTER) TO ALL COMMENTORS

You may prepare one letter to be sent to all commenters. Every comment received must be reproduced in your letter. For each comment listed, name the commenter (X12 member company name) and the vote recorded for them. Link your response to the comment. If you choose this option, you may group the comments which are similar and respond to them as a group. Every member that disapproved must be responded to.

OPTION 2: INDIVIDUAL LETTER TO EACH COMMENTOR

You may prepare one letter for each commenter. If you choose this option, you need not repeat the original comment provided on the ballot. Follow the usual business letter style and the general instructions below. Every member that disapproved must be responded to.

INSTRUCTIONS

STEP 1: Plan to print the first page of your letter(s) on ASC X12 letterhead. If you don't have letterhead, you can obtain some from the Secretariat or reproduce the sample attached. You may not use personal, corporate, or blank letterhead for your comment response letter(s).

STEP 2: Call the Secretariat for a document control number. This number must appear in the upper right corner of the first page of the letter. If you send an individualized letter to each commenter, the document control number assigned for the first letter will be followed by an "A" (e.g., ASC X12F/TGB/SO-120A), the second by a "B" (e.g., ASC X12F/TGB/SO-120B), etc.

STEP 3: Choose your letter format option (see General Information above).

STEP 4: Prepare the letter following the outline, below using a typical business letter format.

- a. Provide a contact name (sender's) in the upper right corner box of the letterhead; include phone number.
- b. Print the document control number under the letterhead box.
- c. Print the date under the document control number.
- d. Address the letter to the individual, or for a generic letter include an addressee line and subject line.
- e. Include an introductory paragraph as the issue is properly identified to the addressee.
- f. You may wish to recap the ballot tally (from your Transmittal Form) for the information of the reader.

STEP 4: Forward the letters to the Secretariat, Attention Secretariat Services, with a cover letter requesting distribution of the response letter(s) you have prepared. When the letters have been distributed, the project delegate and subcommittee chair will receive an updated Transmittal Form which has the mailing date and 30-day review period closing date posted.

Attachments: X12 Letterhead Sample
 Sample Master Response Letter
 Sample Individual Letter

ASC X12-ELECTRONIC DATA INTERCHANGE (EDI)

Accredited Standards Committee
operating under the procedures of the
American National Standards Institute

Tim Jonesey
(999) 999-9999

Dan Smithey
(999) 999-9999

Document No

ASC X12C/TG20/90-999
June 25, 1990

TO: X12 Members Who Commented on Modifications to
X12.xx Control Structures

RE: Response to Comments on December Ballot
DMs 205289, 215289, 317289

Thank you for your comments. This ballot involved modifications to X12.xx. Of the 327 ballots mailed, 153 ballots were returned. Of these, 81 approved, 15 approved with comment, 20 disapproved with comment and 37 abstained.

In general, the vote responses were in favor of the modifications. The majority of the comments focused on the impact of these modifications on the presentation of information in the X12.22 Segment Directory. The proposed modifications and the resulting presentation in the segment directory have been reworked in response to these comments. A revised modification to X12.xx was reviewed by Technical Assessment at the June ASC X12 meeting. Modifications to the document have been made which reflect responses to the comments from this ballot, and a revised copy of X12.xx is being distributed to all who voted on this issue, for 30-day review of revisions.

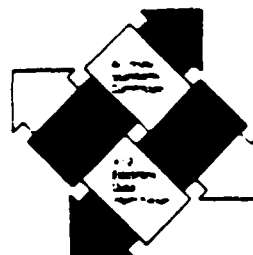
Specific responses to comments follow.

COMMENT: Automobile Corporation

"Add the following note to Paragraph 3.3: NOTE: Communication protocol characters should be excluded from the character set."

RESPONSE:

The cover letter sent out with the voting package explained that the intent was to obtain consensus on the proposed modifications to X12.xx. X12.xx is a difficult standard to amend. We request that ballot responses be considered on the merits of the recommended modifications and not on the standard as a whole. Your comment was outside the scope of the requested modifications.



Page Two

COMMENT: Aircraft Engine Corporation

"Some consideration for Abstract Syntax Notation One (ASN.1) should be allowed.

1. ASN.1 is capable of defining all of the necessary inter-relations needed by X12 transactions.
2. ASN.1 requires less characters to define the same information.
3. ASN.1 is the encoding scheme used by most OSI work."

RESPONSE:

The recommendation to consider usage of ASN.1 encoding reaches far beyond the scope of the modifications requested in this ballot. Activities such as this are best submitted as separate work requests.

COMMENT: Some Software Inc.

"Conditionality of data elements should be left to the discretion of implementation guidelines and agreements. There is much discussion at times as far as whether certain data elements should be mandatory or not; many application systems are incapable of providing certain 'mandatory' information and, as such, filler-type data must be inserted."

RESPONSE:

The issue of data element conditionality as a whole is a much broader subject than was intended to be addressed within the scope of this ballot. This ballot was intended to provide a means for consistent documentation and application of already existing conditional structures. If the commentator believes that the conditional structure should be removed from the standard, the task group recommends that this be submitted as a separate work request.

Etc.

ASC X12-ELECTRONIC DATA INTERCHANGE (EDI)

Accredited Standards Committee
operating under the procedures of the
American National Standards Institute

Joe Somebody
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Document No

ASC X12C/TG8/90-998A
August 10, 1990

Ms. Jane Doe
American Bank
One Central Plaza
Middle America, MO 99999

RE: Response to Ballot Comments on
ASC X12 Model Guideline

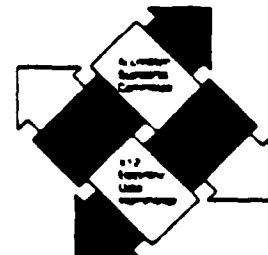
Dear Ms. Doe:

Subcommittee X12C has empowered its Task Group 19 to provide responses to the comments on this ballot. The members of TG19 wish to thank all X12 members who took the time and effort to vote on this guideline. We especially thank each individual who provided comments, whether in approval or disapproval of the guideline. We recognize and appreciate your careful review of this document.

Our response is keyed to the numbered items in the comments attached to your ballot.

RESPONSE

1. We agree with your comment. In Section 4.2.2, we have replaced "we utilize rules ..." with "rules ... are utilized".
2. The confusion between Section 4.2.3 and Section 6.2 only exists because of the example we chose in the first section. This is a hypothetical example, of a simplified model. Headers and trailers can be placed on the content at ALL levels, and do not necessarily correspond to ASC X12 headers and trailers.
3. We agree with your comment. Section 6.2 has been changed so that "the establishment of ..." was added to items 1 and 4.



5.0 GLOSSARY

This chapter contains ASC X12 and DoD specific glossaries.

5.1 X12 GLOSSARY

ANSI

American National Standards Institute

ANSI Standard

A document published by ANSI that has been approved through the consensus process of public announcement and review. Each of these standards must have been developed by an ANSI committee and must be revisited by that committee within 5 years for update. See Draft Standard for Trial Use (DSTU).

Area Transaction Set

Identifies a predefined area within a transaction set (header, detail, summary) containing segments and their various attributes.

ASC X12

Accredited Standards Committee, X12 comprises industry members who create EDI standards for submission to ANSI for subsequent approval and dissemination; or for submission to the UN/ECE for approval and submission of UN/EDIFACT standards.

Authentication

A mechanism which allows the receiver of an electronic transmission to verify the sender and the integrity of the content of the transmission through the use of an electronic "key" or algorithm which is shared by the trading partners. This is sometimes referred to as an electronic signature.

Compliance Checking

A checking process that is used to ensure that a transmission complies with ANSI X12 syntax rules.

Conditional (C)

A data element requirement designator which indicates that the presence of a specified data element is dependent on the value or presence of other data elements in the segment. The condition must be stated and must be computer processable.

Control Segment

A Control Segment has the same structure as a Data Segment but is used for transferring control information for grouping data segments. Control Segments are Loop Control Segments (LS/LE), Transaction Set Control Segments (ST/SE), and Functional Group Control Segments (GS/GE), defined in X12.6, and Interchange Control Segments (ISA/IEA/TA1) defined in X12.5.

Data Element

The basic units of information in the EDI standards containing a set of values that represent a singular fact. They may be single-character codes, literal descriptions, or numeric values.

Data Element Length

This is the range, minimum to maximum, of the number of character positions available to represent the value of a data element. A data element may be of variable length with range from minimum to maximum, or it may be of fixed length in which the minimum is equal to the maximum.

Data Element Reference Number

Reference number assigned to each data element as a unique identifier.

Data Element Requirement Designator

A code defining the need for a data element value to appear in the segment if the segment is transmitted. The X12 codes are mandatory (M), optional (O), or conditional (C). DoD may "require" a segment which is optional by X12 standards.

Data Element Separator

A unique character preceding each data element that is used to delimit data elements within a segment. DoD uses "*" as the delimiter.

Data Element Type

A data element may be one of six types: numeric, decimal, identifier, string, date, or time.

Delimiters

The delimiters consist of two levels of separators and a terminator. The delimiters are an integral part of the transferred data stream. Delimiters are specified in the interchange header and may not be used in a data element value elsewhere in the interchange. From highest to lowest level, the separators and terminator are segment terminator and data element separator.

DISA

Data Interchange Standards Association. A nonprofit organization funded by ASC X12 members which serves as the Secretariat for X12.

DSTU

Draft Standard for Trial Use. Represents a document approved for publication by the full X12 committee following membership consensus and subsequent resolution of negative votes. (Final Report of X12 Publications Task Group). The Draft EDI Standard for Trial Use document represents an ASC X12 approved standard for use prior to approval by ANSI. See ANSI Standard.

EDI

Electronic Data Interchange. The computer application to computer application exchange of business information in a standard format.

Electronic Envelope

Electronic information which binds together a set of transmitted documents being sent from one sender to one receiver.

Element Delimiter

A single-character which follows the segment identifier and separates each data element in a segment except the last.

Functional Group

A group of one or more transaction sets bounded by a functional group header segment and a functional group trailer segment.

Functional Group Segments

GS/GE segments identify a specific functional group of documents such as purchase orders.

Industry Conventions

Defines how the ASC X12 standards are used by the specific industry

Industry Guidelines

Defines the EDI environment for using conventions within an industry. It provides assistance on how to implement X12 standards.

Interchange Control Segments

ISA/IEA segments identify a unique interchange being sent from one sender to one receiver (see electronic envelope).

Interchange Control Structure

The interchange header and trailer segments envelop one or more functional groups or interchange-related control segments and perform the following functions: (1) defines the data element separators and the data segment terminators, (2) identifies the sender and receiver, (3) provides control information for the interchange, and (4) allows for authorization and security information. (X12.5)

Loop

A group of semantically related segments; these segments may be either bounded or unbounded (X12.6). The N1 loop is an example of a loop, which includes segments N1 to PER for name and address information.

Mandatory (M)

A data element/segment requirement designator which indicates the presence of a specified data element is required.

Mapping

The process of identifying the standard data element's relationship to application data elements.

Max Use

Specifies the maximum number of times a segment can be used at the location in a transaction set

Message

Entire data stream including the outer envelope

Optional (O)

A data element/segment requirement designator which indicates the presence of a specified data element/segment is at the option of the sending party which can be based on the mutual agreement of the interchange parties.

Qualifier

A data element which identifies or defines a related element, set of elements, or a segment. The qualifier contains a code taken from a list of approved codes.

Repeating Segment

A segment that may be used more than once at a given location in a transaction set. See Max Use.

Security

System screening which denies access to unauthorized users and protects data from unauthorized uses

Segment

Segments consist of logically related data elements in a defined sequence. A data segment consists of a segment identifier, one or more data elements each preceded by an element separator, and ends with a segment terminator.

Segment Directory

Provides the purpose and format of the segments used in the construction of transaction sets. The directory lists each segment by name, purpose, identifier, the contained data elements in the specified order, and the requirement designator for each data element.

Segment Identifier

A unique identifier for a segment composed of a combination of two or three upper-case letters and digits. The segment identifier occupies the first-character positions of the segment. The segment identifier is not a data element. The segment identifier in EDIFACT is a component data element — part of a composite data element consisting of a segment identifier and an explicit looping designator.

Segment Terminator

A unique character appearing at the end of a segment to indicate the termination of the segment, e.g., N/L.

Syntax

The grammar or rules which define the structure of the EDI standards (i.e., the use of loops, qualifiers, etc.). Syntax rules are published in ANSI X12.6.

Transaction Set

The transaction set unambiguously defines, in the standard syntax, information of business or strategic significance and consists of a transaction set header segment, one or more data segments in a specified order, and a transaction set trailer segment.

Transaction Set ID

An identifier that uniquely identifies the transaction set. This identifier is the first data element of the transaction set header segment.

Translation

The act of accepting documents in other than standard format and translating them to the standard.

Version/Release

Identifies the publication of the standard being used for the generation or the interpretation of data in the X12 standard format. May be found in the Functional Group Header Segment (GS) and in the Interchange Control Header Segment (ISA). See Control Segment.

VICS Committee

Voluntary Interindustry Communications Standards for Electronic Data Interchange

X12

The ANSI committee responsible for the development and maintenance of standards for electronic data interchange (EDI).

X12.5

Interchange Control Structure. This standard provides the interchange envelope of a header and trailer for the electronic interchange through a data transmission, and it provides a structure to acknowledge the receipt and processing of this envelope.

X12.6

Application Control Structure. This standard describes the control segments used to envelop loops of data segments, to envelop transaction sets, and to envelop groups of related transaction sets.

5.2 DoD GLOSSARY

AIS

Automated Information Systems

ASD(P&L)

Assistant Secretary of Defense (Production and Logistics)

DES

Data Encryption Standard

DISA

Defense Information Systems Agency

DLA

Defense Logistics Agency

ISA

Interchange Control Header Identifier

NIST

National Institute of Standards and Technology

NTE

Note Identifier

PLUS

Protection of Logistics Unclassified/Sensitive Systems

UN/EDIFACT

EDIFACT; Electronic Data Interchange for Administration, Commerce, and Transport